

1051 U.S. PTO  
01/02/02

Docket No.: 111370.141

Honorable Commissioner for Patents  
Washington, D.C. 20231

JC857 U.S. PTO  
10/032610  
01/02/02

### NEW APPLICATION TRANSMITTAL

Dear Sir:

Transmitted herewith for filing is the utility patent application of **Inventors:**

- (1) Kristin Gallina LOVEJOY :
- (2) Patrick Ivo CROSS :
- (3) Peter S. TIPPETT :
- (4) \_\_\_\_\_ :

**Entitled:** OBJECT-ORIENTED METHOD, SYSTEM AND MEDIUM FOR RISK :  
MANAGEMENT BY CREATING INTER-DEPENDENCY BETWEEN :  
OBJECTS, CRITERIA AND METRICS :

**Enclosed are:**

**1. Papers Required For Filing Date Under 37 C.F.R. § 1.53(b):**

- 49 Page(s) for Specification  
9 Page(s) for Claim(s)  
1 Page(s) for Abstract  
4 Sheet(s) of **informal** drawings.

**2. Declaration/Power of Attorney**

- \_\_\_\_ Newly executed (original or copy)  
\_\_\_\_ Copy from prior application (continuation/divisional applications)

**3. Assignment**

- \_\_\_\_ An assignment with Recordation Form Cover Sheet of the invention. This application is assigned to \_\_\_\_\_.

**4. Microfiche Computer Program Appendix**

- \_\_\_\_ Sheet(s) of microfiche.

5. **Nucleotide and/or Amino Acid Sequence Submission**

- ☐ Computer readable copy.  
☐ Paper Copy (identical to computer copy).  
☐ Statement verifying identity of above copies.  
☐ Statement of Reliance on Sequence Listing and Computer Readable Form of Sequence Listing in U.S. patent application number(s) \_\_\_\_\_, filed \_\_\_\_\_, incorporated herein by reference in its/their entirety.

6. **Small Entity Statement**

- ☐ Applicant(s) hereby claim "small entity" status under 37 C.F.R. § 1.9 and § 1.27.  
☐ A verified statement that this is a filing by a "small entity" under 37 C.F.R. § 1.9 and § 1.27 is enclosed.  
☐ A verified statement that this is a filing by a "small entity" under 37 C.F.R. § 1.9 and § 1.27 was filed in a prior application, copy attached. Status still proper.

7. **Claim for Priority Under 35 U.S.C. § 120**

- ☐ The benefit under 35 U.S.C. § 120 is hereby claimed.

Please amend the specification as follows:

After the title of the invention, insert the following:

- ☐ "This application claims priority to, and is a **divisional** application of, U.S. application number(s) \_\_\_\_\_, filed \_\_\_\_\_, incorporated herein by reference, in its/their entirety."  
☐ "This application claims priority to, and is a **continuation** application of, U.S. application number(s) \_\_\_\_\_, filed \_\_\_\_\_, incorporated herein by reference, in its/their entirety."  
☐ "This application claims priority to, and is a **continuation-in-part** application of, U.S. application number(s) \_\_\_\_\_, filed \_\_\_\_\_, incorporated herein by reference, in its/their entirety."

8. **Claim for Priority Under 35 U.S.C. § 119**

- ☒ The benefit of priority under 35 U.S.C. § 119 is hereby claimed.  
☐ Certified copy(ies) of the below-identified **foreign/PCT** application(s) enclosed.  
☐ Certified copy(ies) of the below-identified **foreign/PCT** application(s) were filed in U.S. patent application number(s) \_\_\_\_\_, filed \_\_\_\_\_.

Please amend the specification as follows:

After the title of the invention, insert the following:

- \_\_\_\_\_ "This application claims priority to **U.S. provisional** application number(s) \_\_\_\_\_, filed \_\_\_\_\_, incorporated herein by reference, in its/their entirety."
- \_\_\_\_\_ "This application claims priority to **foreign** application number(s) \_\_\_\_\_, filed \_\_\_\_\_, incorporated herein by reference, in its/their entirety."
- \_\_\_\_\_ "This application claims priority to **International PCT** application number(s) \_\_\_\_\_, filed \_\_\_\_\_, incorporated herein by reference, in its/their entirety."
- \_\_\_\_\_ "The **International PCT** application was/was not published in the English language under PCT Article 21(2)."

## 9. Fee Calculation

<u>Claims Filed</u>	<u>Number Extra</u>	<u>Rate</u>	<u>Basic Fee \$740.00</u>
Total Claims 31	- 20 = 11	X \$ 18.00	198.00
Independent Claims 4	- 3 = 1	X \$ 84.00	84.00
Multiple dependent claim(s)		\$280.00	
Small Entity Discount (50% of above)			(\$ .00)
Filing Fee Calculation			\$1022.00

- \_\_\_\_\_ Preliminary Amendment canceling/adding extra claims enclosed, and included in above fee calculation.
- \_\_\_\_\_ Preliminary Amendment deleting multiple dependencies enclosed.

## 10. Fee Payment

X Filing fee calculation above \$1022.00

\_\_\_\_\_ Recording assignment (37 C.F.R. § 1.21(h)(1)-\$40.00) \$\_\_\_\_\_

**TOTAL FEES** \$1022.00

## 11. Method of Payment of Fees

- X Not Enclosed. No filing fee is to be paid at this time.
- \_\_\_\_\_ Enclosed. Check in amount: \$\_\_\_\_\_
- \_\_\_\_\_ Enclosed. Charge Deposit Account No. 08-0219 amount: \$\_\_\_\_\_

**12. Patent Application Publication-Related Requests (Not for Reissue or Design)**

- \_\_\_\_ Applicant hereby requests under 37 C.F.R. § 1.84(j) that Figure \_\_\_\_ be included on the front page of the patent application publication and patent.  
\_\_\_\_ Request for non-publication under 35 U.S.C. § 122(b) is enclosed.

**13. Other Enclosures:**

- \_\_\_\_ Preliminary Amendment.  
\_\_\_\_ Information Disclosure Statement  
\_\_\_\_ Application Data Sheet  
\_\_\_\_ Other \_\_\_\_\_

**14. Authorization to Credit Overpayment or Charge Additional Fees**

- \_\_\_\_ The Commissioner is hereby authorized to credit any overpayment, or charge fees under 37 C.F.R. § 1.16 or 37 C.F.R. § 1.17 which may be required, to Deposit Account No. 08-0219. A duplicate copy of this Transmittal Letter is attached for accounting purposes.

**15. Conditional Petition For Extensions of Time**

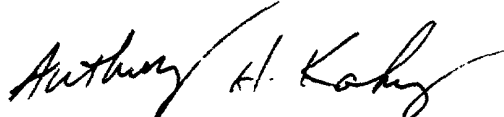
- \_\_\_\_ Petition is hereby made under 37 C.F.R. § 1.136(a) for any extension of time required to ensure that any papers due in the U.S. Patent and Trademark Office during the pendency of this application are timely filed. Please charge any fees due for any extensions of time to Deposit Account No. 08-0219. A duplicate copy of this Transmittal Letter is attached for accounting purposes.

**16. Correspondence Address:**

Hale and Dorr LLP  
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Washington, D.C. 20004  
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Respectfully Submitted,

HALE AND DORR LLP



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Date: Jan. 2 2002